

Federal Criminal Background Report: Explanation and Instructions for Investment Advisers

Beginning **July 1, 2010** criminal background checks are required for all Investment Adviser Representatives who are not also registered as a Broker Dealer Representative or are also applying for Broker Dealer Rep. Registration. These individuals must submit fingerprints for a **NATIONAL CRIMINAL HISTORY BACKGROUND CHECK** by the Federal Bureau of Investigation.

All individuals who reside in Indiana - See “Fingerprinting in Indiana” below:

All individuals who reside outside of Indiana or who cannot make it to a fingerprinting location - See “Indiana Card Scan Processing Procedures” below:

BE ADVISED: The Division will **NOT** issue a license or a certificate of registration without an FBI criminal background report.



Fingerprinting in Indiana Secretary of State



Follow the simple steps outlined below to complete the fingerprinting process:

1. Using your computer web browser, go to www.L1enrollment.com and choose Indiana.
2. If you do not have access to the internet, you may call us toll-free at (877) 472-6917 to schedule an appointment. If you call, you will be asked the following questions instead of completing these steps yourself.
3. Click Online Scheduling and choose the language you wish to use for scheduling (English or Spanish)
4. Enter your first and last name and click "go"
5. Choose your Agency Name (Secretary of State) to be printed and click "go".
6. Choose the correct Applicant Category for your license type and click "go".
7. Select the location where you want to be fingerprinted. You may choose a region of the state, click on the map, or enter a zip code to get a list of locations in a specific area. Press "go"
8. Click on the words "Click to Schedule" across from the location you want, under the day you wish to be fingerprinted. If you want a date further in the future, click the "Next Week>>" link to display more dates. Once you select the location/date combination, select the time for your appointment and click "go".
9. Complete the demographic information page. Required fields are indicated by a red asterisk (*). When complete, click "Send Information"
10. Confirm the information. Follow the on screen directions to make any changes necessary. Once you see the data is correct, click "Send Information".
11. Complete your payment process (if required) and click "Send Payment Information".
12. Print your confirmation page. If you provided an email address, you will receive an email confirmation as well.
13. Bring one the following with you to your fingerprinting appointment: Valid Driver License, Valid State Issued Identification Card, Valid Passport, Student ID with Picture and DOB, Work ID with Picture and DOB, Valid Alien ID card with Picture and DOB. If you do not have the above identification, you will need both a valid Birth Certificate and a Social Security Card.
14. Arrive at the facility at your appointed date and time.
15. The Enrollment Officer at the site will check you ID, verify your information, verify or collect payment, capture your fingerprints, and submit your data. This normally takes less than five minutes.
16. You will receive a signed receipt at the end of your fingerprinting session which can be provided to your agency for proof of fingerprinting and should be submitted with your jurisdiction checklist from the NMLS.
17. All results will be processed and delivered to the Secretary of State. L-1 is never in possession of criminal record data results.

Indiana Card Scan Processing Procedures

Applicants who reside out of state, or are physically unable to go to a location to be fingerprinted may use L-1's Card Scan Processing Program. This program utilizes advanced scanning technology to convert a traditional fingerprint card (hard card) into an electronic fingerprint record. Converting a "hard card" into an electronic record enables an applicant to have their fingerprint record processed as quickly as if they had traveled to an electronic fingerprint processing location. The section below details the procedures for submitting fingerprints to the Card Scan Processing Unit.

Indiana Licensing and Certification

- Applicants must go online to the L-1 Enrollment website (www.l1enrollment.com) or call the toll free registration center at 1-877-472-6917 and complete the registration process. During the registration process, applicants should select "Pay for Ink Card Submission" on the Appointment Details page. This will identify to L-1 that a hard card will be mailed to them for conversion to an electronic fingerprint record which will then be submitted to the Indiana State Police.

Appointment Details

If you are using assistive technology (such as a screen reader) or have problems using the application, please follow this link to our alternative appointment scheduler.

[Pay with Card online](#)

Enter a zip code to determine the closest fingerprinting location.

OK

Please choose the region you will be in for your scheduled appointment.

CENTRAL OK



If you have any questions with the website, please contact L-1 Enrollment Services at 877-472-6917

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- Applicants should complete the entire registration process; a confirmation number will be supplied at the end of the registration process. This number should be retained by the applicant for tracking purposes. This confirmation number must be recorded on the fingerprint card when it is submitted to L-1 for proper processing.